

## BASE SYSTEM CIVILIAN PERFORMANCE COUNSELING CHECKLIST/RECORD

For use of this form, see AR 690-400; the proponent agency is ASA(M&RA)

RATEE		RATER	
ORGANIZATION/INSTALLATION		INTERMEDIATE RATER <i>(Optional)</i>	
PAY PLAN, SERIES/GRADE	RATING PERIOD	SENIOR RATER	
<p><b>PURPOSE.</b> The primary purpose of counseling is to define organizational mission and values, discuss individual job expectations and performance, reinforce good performance/work related behavior, correct problem performance/work related behavior, and enhance the Ratee's ability to set and reach career goals. The best counseling is forward looking, concentrating on the future and what needs to be done better. Counseling should be timely. Counseling only at the end of the rating is too late since misunderstandings that impact performance and work related behavior cannot be resolved in time for improvement before the next annual rating.</p> <p><b>RULES FOR COUNSELING.</b></p> <ol style="list-style-type: none"> <li>1. Face-to-face counseling is mandatory for all civilians in the Base System.</li> <li>2. Use this form along with a working copy of the Evaluation Form <i>(DA Form 7223)</i> and the Ratee's position description for conducting performance counseling and recording counseling content/dates.</li> <li>3. Conduct initial counseling within at least the first 30 days of each rating period and again at the midpoint of the rating period.</li> </ol>		<p><b>AFTER COUNSELING</b></p> <ol style="list-style-type: none"> <li>1. Summarize key points of the counseling on the back of this form and initial in the block provided. You may attach additional pages.</li> <li>2. Give the Ratee the form to review/initial.</li> <li>3. If the Ratee gave written input, attach it.</li> <li>4. Forward the checklist through the rating chain to the Senior Rater <i>(if used)</i> who should review and, when satisfied that requirements are in line with mission needs, initial and date the checklist and return it to you.</li> <li>5. Give the Ratee a copy and keep the original to use for the next counseling session.</li> </ol>	
<p><b>CHECKLIST - COUNSELING AT THE BEGINNING OF THE RATING PERIOD</b></p>		<p><b>CHECKLIST - LATER COUNSELING SESSION(S)</b></p>	
<p><b>PREPARATION</b></p> <ol style="list-style-type: none"> <li>1. Schedule the counseling session and notify the Ratee; suggest the Ratee write down or be ready to discuss ideas about expectations and requirements.</li> <li>2. Get a copy of the Ratee's position description, rating chain, the counseling checklist, and a blank evaluation form.</li> <li>3. Think how each Value and each Responsibility in Part V of the evaluation form applies.</li> <li>4. Decide what you consider necessary for success in each Value/Responsibility. Be specific.</li> <li>5. Make notes to help you with counseling.</li> </ol> <p><b>COUNSELING</b></p> <ol style="list-style-type: none"> <li>1. Explain the rating chain and the roles of each rater.</li> <li>2. Discuss the position description. If the Ratee has worked in the job before, ask if he/she believes the description is accurate.</li> <li>3. Discuss items that require top priority effort <i>(areas of special emphasis)</i>--realizing this may change later.</li> <li>4. Discuss each Value/Responsibility in Part V of the evaluation form. Ask the Ratee for ideas about what Values mean and how he/she might perform assigned duties.</li> <li>5. Review the Ratee's written input if he/she provides it.</li> <li>6. Discuss what tasks and level of performance you expect for Success.</li> <li>7. If you and the Ratee have different views, discuss them until you both are clear on requirements. Even if the Ratee disagrees, he/she must understand what you expect.</li> <li>8. Using the DA-established performance standards and the tasks to be accomplished give examples of Excellence to give the Ratee specifics to aim for.</li> <li>9. Ask the Ratee about career goals and training needs.</li> </ol>		<p><b>PREPARATION</b></p> <ol style="list-style-type: none"> <li>1. Schedule the counseling session with the Ratee. Tell him/her to come prepared to discuss accomplishments and review requirements and effectiveness of any completed training.</li> <li>2. Review notes from the last session.</li> <li>3. Consider whether priorities or expectations have changed.</li> <li>4. For each Value/Responsibility, answer these questions: What has the Ratee done? What was done well? Why? What could have been done better? Why?</li> <li>5. Make notes to help focus when counseling.</li> </ol> <p><b>COUNSELING</b></p> <ol style="list-style-type: none"> <li>1. Discuss job requirements and areas of special emphasis and priorities that have changed or that are new. Ask the Ratee if he/she is having problems and needs your help.</li> <li>2. If the Ratee gives written input, review it.</li> <li>3. Tell how the Ratee is doing. Talk specific examples of observed actions/results. Discuss differences in your views. Offer assistance if needed. The goal is to help the Ratee succeed.</li> <li>4. Give examples of Excellence that occurred or could have occurred.</li> <li>5. At least during the midpoint counseling session, discuss the Ratee's career goals, the effectiveness of training, and the Ratee's potential to perform higher level or different tasks.</li> </ol> <p><b>AFTER COUNSELING</b></p> <ol style="list-style-type: none"> <li>1. Follow the same procedures for documenting, initialing, and dating as you did for the initial session.</li> <li>2. At the end of the rating period, use the checklist to prepare the Ratee's evaluation. Then attach the Counseling Checklist/Record to the performance evaluation for use by the rating chain. After the Senior Rater signs the performance evaluation, he/she returns it to the Rater to discuss with the Ratee, if a senior rater is used. After the Ratee signs, the Rater submits the evaluation with the checklist to the servicing personnel office for filing.</li> </ol>	

**DA RESPONSIBILITIES AND PERFORMANCE STANDARDS**

To derive Responsibilities ratings, think about the tasks that were performed under each Responsibility and apply the following performance standards which are written at the Success (*Meets*) level; e.g., the Ratee usually:

**TECHNICAL COMPETENCE.** Has knowledge, skills and abilities to do the work. Produces expected quality and volume. Meets deadlines. Works with right amount of supervision. Gets desired results.

**ADAPTABILITY/INITIATIVE.** Can work under pressure or during changing conditions. Is willing to try new ways. Suggests better ways to do business. Seeks/accepts developmental opportunities.

**WORKING RELATIONSHIPS/COMMUNICATIONS.** As a team member, works well with group and helps others get the job done. Expresses ideas clearly. Follows instructions or asks for clarification. Shows respect and is courteous. Shows concern for customer.

**RESPONSIBILITY/DEPENDABILITY.** Accepts responsibility for own actions. Keeps work area in order and equipment maintained. Uses supplies, equipment and time as intended. Complies with DA emphasis programs, e.g., Total Army Quality (*TAQ*), safety/security, internal control, inventory management, quality assurance, EEO/AA. Schedules nonemergency leave in advance to avoid adverse impact to work unit effectiveness.

**FOR POSITIONS WITH SUPERVISORY DUTIES:**

**SUPERVISION/LEADERSHIP.** Sets and communicates unit goals that reflect organizational goals. Implements/complies with appropriate DA emphasis programs. Sets standard/leads by example. Takes timely/appropriate personnel actions. Recruits/retains quality force. Motivates, challenges and develops subordinates, through counseling on expectations, performance, and career goals; evaluates timely. Resolves conflict and maintains order.

**EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA).** Applies EEO principles to all aspects of personnel management (*e.g., hiring, training, work assignments/schedules, discipline, counseling and awards*). As appropriate, takes immediate corrective action if sexual harassment or other discriminatory/unfair treatment is observed, reported or suspected. Provides leadership and emphasis to the execution of the Affirmative Employment Plan. Participates in EEO/AA activities and encourages subordinates to do so.

**COUNSELING RECORD/INDIVIDUAL PERFORMANCE STANDARDS**

DATE OF COUNSELING	RATEE/RATER/ INT. RATER/ SENIOR RATER INITIALS	KEY POINTS MADE
INITIAL		
LATER <i>(Optional)</i>		
MIDPOINT		
LATER <i>(Optional)</i>		